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**Guidelines for Capacity Building Workshops  
on the Regular Process**

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- [Editing Notes: (1) Passages of text that have been amended or added are underlined.  
 (2) Where a passage of text has been omitted without replacement, this is marked by an ellipsis in square brackets [...].  
 (3) Footnotes in italics are comments or explanations that are not intended to be part of the final document.]

**REVISED DRAFT GUIDELINES FOR WORKSHOPS TO ASSIST  
 THE REGULAR PROCESS FOR GLOBAL REPORTING AND ASSESSMENT OF THE  
 STATE OF THE MARINE ENVIRONMENT,  
 INCLUDING SOCIO-ECONOMIC ASPECTS**

**Purpose and objectives**

1. As recommended by the Ad Hoc Working Group of the Whole in February 2011<sup>1</sup>, workshops are recognized as a key mechanism by which the First Global Integrated Marine Assessment will be accomplished and States can enhance their assessment capacity. Workshops will facilitate dialogue between the Group of Experts of the Regular Process (“Group of Experts”) and representatives and experts from States and competent intergovernmental organizations. These guidelines are intended to make clear how a series of workshops should be organized in support of the first phase of the first cycle of the Regular Process. The following guidelines will help ensure the credibility and legitimacy of the output of each workshop, and thus of the Regular Process in general.
- 2<sup>2</sup>. The objectives of each of the series of workshops should be to:
  - a<sup>3</sup>. Review and evaluate all assessments considered by the participants to be relevant to the sea area under consideration and, on the basis of those evaluations, compile an inventory of assessments likely to be useful for the Regular Process. The assessments to be considered should be both those related to environmental issues and those related to socio-economic issues. If necessary, arrangements should be initiated for access to those assessments by the Group of Experts and the Secretariat of the Regular Process (the “Secretariat”);
  - b. Start building a network between experts [...] and organizations taking part in each workshop, and the Group of Experts and the Secretariat;
  - d. Identify the capacity-building needs of States taking part in the workshop needed to allow them to contribute more fully to, and benefit more fully from, the Regular Process, and identify steps that those States could usefully take to build the capacities

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<sup>1</sup> A/65/759, Annex

<sup>2</sup> *Changes to this paragraph reflect comments from many delegations, who see the need for a wider range of subjects to be covered. No change, however, has been made to reflect a proposal that the Guidelines should provide for further series of workshops, since this would seem better left to a future decision of the Ad Hoc Working Group.*

<sup>3</sup> *No change has been made to reflect one delegation’s request for more emphasis on the regional level since more delegations urged a clear focus on the role of States, and, in any event, the regional level is adequately covered by references to assessments produced by intergovernmental organizations participating in the workshop.*

of competent intergovernmental organizations (if any) through which the States collaborate [...]; and

- e. Start building capacity for integrated assessment, which could include discussing and developing:
    - (i) Common information content for assessments at various scales and common approaches towards assessment methodologies,
    - (ii) Approaches for scaling up assessments (national, subregional, regional, global – that is, establishing how far assessments at one level can be used at other levels),
    - (iii) reporting forms to assist the integration process, with the aim of securing coherence, consistency and comparability as far as possible);
  - f. Consider the linkages between assessment and response, having regard to the objective of ensuring sustainable use of the marine environment and to the respective jurisdictions of States and competences of intergovernmental organizations.
3. This list of objectives, the preparatory work set out in Annex A and the outline agenda at Annex B will constitute the terms of reference of the workshops.

#### **Number and locations**

4. States are invited to offer to host workshops for the following general areas of sea:
- a. The North Pacific,
  - b. The South Pacific,
  - c. The eastern and south-eastern Asian Seas (including the Indonesian seas),
  - d. The northern Indian Ocean, the Arabian Sea, the Red Sea and Gulf of Aden and the ROPME/RECOFI area,
  - e. The southern and western Indian Ocean,
  - f. The North Atlantic, the Baltic Sea, the Mediterranean Sea and the Black Sea,
  - g. The South Atlantic (between the African and American coasts) and the wider Caribbean.

Separate workshops may not be needed for the Arctic and Antarctic. However, the international bodies concerned with those areas (in particular, the Arctic Council and the Commission on Antarctic Marine Living Resources) could be invited to consider, and to comment on, the issues proposed for the workshops. If those international bodies thought fit, members of the Group of Experts could be made available for consultation.

4A. Such offers should be made to the Secretariat which, with the help of the Group of Experts, will seek to negotiate arrangements which will avoid overlap of coverage or clash of dates. The Secretariat will notify all States of workshops which are to be held as soon as arrangements have been agreed.

## **Timing**

5<sup>4</sup>. The Group of Experts will need to reach conclusions in April 2012 on some of the issues suggested for consideration by the workshops. It will therefore be best if workshops are held in time for their output to reach the Group of Experts by the end of March 2012.

## **Hosts**

6. As recommended by the Ad Hoc Working Group of the Whole in February 2011, workshops are to be organized, under the auspices of the United Nations, in coordination with the Secretariat and with the assistance of members of the Group of Experts. Such workshops could be organized:

- (a) By States;
- (b) At the request of a State, by scientific institutions such as national academies, marine research institutes or universities; or
- (c) At the request of a State, by competent intergovernmental organizations.

## **Participation**

7. Member States of the United Nations, observers and competent intergovernmental organizations shall be entitled to participate in any workshop that they consider relevant to them, up to the number of available places. Competent regional organizations are encouraged to participate. For practical reasons, the logistics and the size and number of delegations will need to be managed by the host [in consultation with the Secretariat]<sup>5</sup>.

8. Non-governmental organizations in consultative status with the Economic and Social Council, relevant scientific institutions and organizations representing major groups as defined in Agenda 21 may request invitations to participate. Hosts may reserve a number of places in the workshop to be filled by such invitations.

9. Hosts should provide for participation in the workshops by at least one member of the Group of Experts of the Regular Process. If possible, all the members from States in the area covered by the workshop should participate, together with at least one from outside that area. Where necessary, such participation may be supported by the Trust Fund for the Regular Process.

## **Chair and Secretariat**

10. Hosts should designate a chair (or co-chairs) of the workshop, who will be expected to take responsibility for summarizing the outcomes of the workshop with the aid of the workshop secretariat and members of the Group of Experts. Hosts may consider inviting a member of the Group of Experts to be the chair, or a co-chair, of the workshop.

11. Hosts should provide support staff<sup>6</sup> to organize proceedings in consultation with the members of the Group of Experts who are taking part, and to help the chair(s) and the member(s) of the Group of Experts to provide a summary of the outcome.

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<sup>4</sup> The dates in this paragraph have been amended in the light of the later start of the workshops and the proposed revised timetable.

<sup>5</sup> The reference to the Secretariat is in square brackets because the role of the Secretariat in workshops has yet to be determined.

<sup>6</sup> One delegation proposed that the Secretariat of the Regular Process should provide the necessary support to all workshops. This proposal has not been included, since it is doubtful that DOALOS will have the resources to provide

### **Preliminary information**

12. Participants in the workshop should be asked to provide, in advance of the workshop, contributions on the information listed in Annex A to these guidelines. Members of the Group of Experts should be prepared to help this process with advice and, as appropriate, relevant documentation.

13. The workshop support staff should compile that information into summaries, which should be available, and distributed to participants, in advance of the workshop.

### **Activities of workshops**

14. The agenda of a workshop to support the Regular Process should, as far as possible, include the elements set out in Annex B to these guidelines. The activities of a workshop should take full account of the principles for the Regular Process recommended by the Ad Hoc Working Group of the Whole and endorsed by the UN General Assembly in 2009 , and the recommendations of the Ad Hoc Working Group of the Whole in 2010 and 2011.

15. An important part of each workshop will be making a start on capacity-building on how to carry out integrated assessments, so that the workshop participants can better understand, and contribute to, the work of the Regular Process

### **Output of workshops**

16. The output of the workshop should take the form of a summary of the discussions prepared by the chair or co-chairs, with the help of the member(s) of the Group of Experts. Provision should be made for the participants to comment on a draft of the summary and for the final version to be revised by the chair(s) and representative(s) of the Group of Experts in the light of such comments. Where State or intergovernmental organization not participating in the workshop conducted or are responsible for assessments, institutions, networks or other arrangements which have been identified as relevant , that State or intergovernmental organization should be invited to review and comment on what is said about any such matter.

17. An electronic copy of the final version of the summary should be sent to the Secretariat, to be posted on the DOALOS website as a UN document and/or on the Regular Process website.

### Information to be provided in advance of the workshop

1. Details of assessments carried out under the auspices of States or intergovernmental organizations attending the workshop which could be relevant to issues in the draft outline of the First Integrated Assessment Report. A starting point for assembling this information should be the assessments listed in the GRAMED data-base, where much of this information is already to be found. Assessments not carried out by States or intergovernmental organizations, but which the States or intergovernmental organizations use, or which they consider to be relevant should also be included. The details to be provided should include, as far as possible:
  - (a) Agency conducting the specific assessment;
  - (b) Major intended users of the assessment, and the uses for which it was intended
  - (c) Spatial and temporal scale of the assessment, and frequency of assessment cycle;
  - (d) Issues covered by the assessment;
  - (e) Types of data, experiential knowledge, indicators and the reasons for their selection, and other information sources contributing to the assessment;
  - (f) Where trends of component information sets have been deduced, the methods employed;
  - (g) Where an effort has been made to integrate different types of information, particularly social, economic and ecological information, the extent of, and methods for, such integration;
  - (h) Sources of any evaluation benchmarks, reference levels or ecotoxicological assessment criteria used in the assessment;
  - (i) Extent and sources of any forecasts, projections, and scenarios used in the assessment;
  - (j) If data-assessment limitations (such as data-extrapolation errors, uncertainties and/or information gaps) were addressed in the assessment, a description of how this was done.
2. For issues in the draft possible outline of the First Global Integrated Marine Assessment for which no assessment has been carried out by a State or intergovernmental organization attending the workshop, but where they hold relevant data or information:
  - (a) What types of relevant data or information are known to be collected and managed, and by what State(s) and agencies? (This is expected to be the case for some key social and economic data). What information can be provided about the spatial and temporal coverage and technical content of such data or information?
  - (b) Where key types of information are not known to exist, can expert knowledge be mobilized to fill the gap, and if so, how can the experts be accessed?
3. Contact details of focal points for the States and intergovernmental organizations to be represented at the workshop.
4. Advance notice of identified capacity-building needs.

## Elements for the agenda of a workshop to support the Regular Process

1. Presentation by a representative of the Group of Experts of the Regular Process on the objective, scope and framework of the Regular Process and the intended function of the workshop.
2. Consideration by the workshop of whether the draft possible outline of the First Global Integrated Marine Assessment will meet the needs of the States and intergovernmental organizations represented in the workshop, including the priorities of States and whether there are any additional questions that should be considered in the First Global Integrated Marine Assessment.
3. Evaluation by the workshop of the assessments in the summary prepared on the basis of the information submitted under paragraph 1 of Appendix I and compilation of an inventory of those considered useful for the Regular Process.
4. Consideration by the workshop of what might be done in relation to issues on which data and/or information is known to be available but where no assessment has been carried out.
  - 4A. Identification of issues which are important but where no data/information is available for the sea area under consideration, and discussion of how information can be mobilized or necessary research into such issues can be organized.
5. Consideration by the workshop of whether any changes are needed in the draft Guidance to Authors<sup>7</sup>.
6. Stock-taking by the workshop of the existing capacities of national and regional ocean and marine research and training institutions relevant to the States and intergovernmental organizations concerned with the sea area under consideration, [...]for marine monitoring and assessment and [...] integrated assessments.
7. Stock-taking of existing expert networks in and among the States and intergovernmental organizations concerned with the sea area under consideration, and of their suitability for playing major roles in strengthening capacity.
8. Identification by the workshop of needs for capacity-building (including the acquisition of necessary technology) for marine monitoring and assessment (including making integrated assessments).
9. Development by the workshop of a short-term capacity-building plan to mobilize the information and knowledge that is known to exist in relation to the sea area under consideration, but has not yet been systematically organized in a way that would allow its use for the Regular Process;
- 9 bis. A session to start building capacity for integrated assessments.
10. Consideration by the workshop of how users of the existing assessments in the summary can be kept informed of activities of the Regular Process, and how the Group of Experts of the Regular Process can be kept aware of, and responsive to, their needs.

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<sup>7</sup> See Annex B to the Set of Options prepared by the Group of Expert.